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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Group Art Unit No.: NYA

Sashikanth Chandrasekaran, et al.

Examiner: NYA

Serial No.: NYA

Filed on: March 4, 2002

jc868 U.S. PTO
10/092047
03/04/02

For: MANAGING CHECKPOINT QUEUES IN A MULTIPLE NODE SYSTEM

Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached form PTO-1449. It is respectfully requested that the references be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom. The references were cited during the prosecution of the parent application, serial number 09/199,120. It is respectfully requested that the cited documents be considered, that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration, and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

 X 37 C.F.R. §1.97(b).

 37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes one of the following:

 A statement pursuant to 37 C.F.R. §1.97(e)

 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

 A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

 37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:

 A statement pursuant to 37 C.F.R. §1.97(e)

 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR

 1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND

_____ A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

_____ 37 C.F.R. §1.97(i). Wherein applicants are submitting references before the grant of a patent to be placed in the file but not considered by the Patent office.


- (1) Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith for placement in the file. No certification or fees are deemed necessary.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: March 4, 2002



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INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(PTO-1449)

 ATTY. DOCKET NO.
50277-1776

 SERIAL NO.
NYA

 APPLICANT
Sashikanth Chandrasekaran, et al.

 FILING DATE
March __, 2002

 GROUP
NYA

 1c869 U.S. PTO
10/092047


U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	5,193,162	3/9/93	Bordsen, et al.	711	152	11/6/89
	5,276,835	1/4/94	Mohan et al.	711	144	12/14/90
	5,276,848	1/4/94	Gallagher et al.	711	121	8/20/91
	5,280,611	1/18/94	Mohan et al.	707	8	11/8/91
	5,287,473	2/15/94	Mohan et al.	711	133	12/14/90
	5,327,556	7/5/94	Mohan et al.	707	8	5/11/93
	5,903,910	5/11/99	Tran et al.	711	132	11/20/95
	5,924,096	7/13/99	Draper et al.	707	10	10/15/97
	5,966,706	10/12/99	Billiris et al.	707	10	2/19/97
	5,987,477	11/16/99	Schmuck et al.	707	201	7/11/97
	6,052,758	4/18/00	Crockett et al.	711	113	12/22/97
	6,085,198	7/4/00	Skinner et al.	707	101	6/5/98


FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No
	EP0750260A2	6/13/96	Europe				

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	Abstracts of Some of C. Mohan's Papers and Patents, Updated on 13 June 2001, www.almaden.ibm.com/u/mohan/aries_papers.html , (Pgs. 1-38), accessed July 24, 2001.
	Research Report #91A002286 entitled "Recovery and Coherency-Control Products for Fast Intersystem Page Transfer and Fine-Granularity Locking in a Shared Disks Transaction Environment", C. Mohan and Inderpal Narang, Data Base Technology Institute, IBM Almaden Research Center, March 15, 1991 (31pgs).
	Recovery and Coherency-Control Protocols for Fast Intersystem Page Transfer and Fine-Granularity Locking in a Shared Disks Transaction Environment, C. Mohan and Inderpal Narang, Proceedings of the 17 th International Conference on Very Large Data Bases, Barcelona, September, 1991 (Pgs. 193-207).
EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

INFORMATION DISCLOSURE CITATION IN AN APPLICATION (PTO-1449)				ATTY. DOCKET NO. 50277-1725		SERIAL NO. NYA			
				APPLICANT Sashikanth Chandrasekaran, et al.				JCS68 U.S. PTO 10/092047  03/04/02	
				FILING DATE March __, 2002		GROUP NYA			
U.S. PATENT DOCUMENTS									
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE			
FOREIGN PATENT DOCUMENTS									
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation			
						Yes	No		
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)									
	Intersystem Page Transfer and Fine-Granularity Locking in a Shared Disks Transaction Environment", C. Mohan and Inderpal Narang, Data Base Technology Institute, IBM Almaden Research Center, March 15, 1991 (31pgs).								
	C. Mohan, et al., "A Case Study of Problems in Migrating to Distributed Computing: Data Base Recovery Using Multiple Logs in the Shared Disks Environment", IBM Research Report RJ7343, Database Technology Institute, IBM Almaden Research Center, March 1990, 20 pages.								
	C. Mohan, et al., "Solutions to Hot Spot Problems in a Shared Disks Transaction Environment", IBM Research Report RJ8281, Data Base Technology Institute, IBM Almaden Research Center, August 1991, 25 pages.								
	Mohan, C., et al., "Efficient Locking and Caching of Data in the Multisystem Shared Disks Transaction Environment", Proc. 3 rd International Conference on Extending Database Technology, Vienna, March 1992, pp. 453-468.								
	C. Mohan, et al., "Efficient Locking and Caching of Data in the Multisystem Shared Disks Transaction Environment", Data Base Technology Institute, IBM Almaden Research Center, RJ 8301, August 1991, 20 pages.								
	C. Mohan, et al., "Data Base Recovery in Shared Disks and Client-Server Architectures", Proc. 12 th International Conference on Distributed Computing Systems, Yokohama, June 1992, pp. 310-317.								
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	J. W. Josten, et al., "DB2's Use of the Coupling Facility for Data Sharing", IBM Systems Journal, Volume 36, Number 2, 1997, 25 pages.								
EXAMINER				DATE CONSIDERED					

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